 NORTHEAST OHIO MEDICAL UNIVERSITY	POLICY NO: 3349-7-03
POLICY TITLE: Academic Faculty File Policy	EFFECTIVE DATE: October 1, 2018
RESPONSIBLE DEPARTMENT: University Office of Faculty Affairs (within the Office of the Provost)	APPROVAL AUTHORITY: Human Resources and Academic Affairs

(A) Purpose


The purpose of this policy is to identify the offices responsible for maintaining the official files of NEOMED faculty, as well as, the file’s contents, the persons who are allowed to access the file and the process by which to obtain access.

(B) Scope

This Policy is established under the general authority of the Office of the Provost and the Office of Human Resources.

(C) Definitions

- (1) “Academic Faculty File” is a faculty academic file that is maintained in the University Office of Faculty Affairs (within the Office of the Provost) and contains applications for appointment, promotion, tenure, Letter of Offer and amendments, Notifications of Appointment, Notifications of Promotion, letters of recommendation, leaves of absence, tenure development committee membership, tenure and promotion decisions, reappointment, performance evaluations, disciplinary documents and other related academic and employment matters addressed pursuant to the University Faculty Bylaws.
- (2) “Affiliated Faculty” are non-tenure track faculty members who are non-salaried or whose primary role are not as faculty members.
- (3) “Employment File” is a faculty employment file that is maintained in the Office of Human Resources (for NEOMED-employed and co-funded (shared)) faculty. This file contains originals and copies of documents that relate to pre-employment, employment, benefits, payroll and separation matters.
- (4) “Letter of Offer” is a document initiated by the Office of Human Resources and sets forth certain conditions of the offer of employment but does not constitute a contract. Any previous experience to be counted toward a faculty member’s time in rank may


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be negotiated prior to the offer and will be documented in the Letter of Offer. Any modifications to the letter must be in writing and agreed to by both parties.


- (5) “Notification of Appointment or Promotion” is a written letter issued to all Affiliated Faculty upon final approval of their appointment or promotion by the NEOMED Board of Trustees. This notification confirms a faculty member’s rank, the academic department in which rank is held, and the effective date of appointment or promotion.
- (6) “Records Under Seal” are records that the faculty member waives the right to review, such as information pertaining to an appeal or letters from external evaluators, which are completed in conjunction with the appointment, tenure and promotion process.

(D) Body of the Policy


- (1) The Academic Faculty File is maintained in the University Office of Faculty Affairs for all faculty in all Colleges, whether full time, part time, affiliated, or co-funded (shared). All official documents concerning a faculty member’s status as a faculty member, will to the extent practicable, be maintained in the faculty member’s Academic Faculty File.
- (2) The faculty member has the right to review the contents of his or her Academic Faculty File and Employment File. Files will be kept in strictest confidence to the extent allowed by Ohio law. The faculty member may authorize in writing access to his or her Academic Faculty File by a person not indicated below.
- (3) The Academic Faculty File is available on a need-to-know basis only to the President, General Counsel, Provost, Director of Administration (Office of the Provost) and staff, Dean or Vice Dean of a College, the faculty member's Department Chair, the faculty member him/herself, and the Director of Human Resources.

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- (4) Public records request for faculty Academic or Employment files should be referred to the University Office of the General Counsel for handling.
- (5) Other than those records that are treated as Records Under Seal, a faculty member is permitted to review or supplement their Academic Faculty File or Employment File at any point in time.
- (6) Academic Faculty File. The faculty file maintained in the University Office of Faculty Affairs (within the Office of the Provost) is the Academic Faculty File. This file includes original documents and copies. These documents may include, but are not limited to:
 - (a) Original documents:
 - (i) Notification of Appointment including any special conditions/agreements at the time of initial appointment and any addenda;
 - (ii) Curriculum vitae;
 - (iii) Faculty planning and annual evaluation forms;
 - (iv) Tenure and promotion records;
 - (a) Tenure and/or promotion time in rank requirements;
 - (b) Listing of tenure advisory committee membership;
 - (c) Dossier and University Tenure and Promotion Committee materials and decisions;
 - (d) Date of promotion(s) and tenure;


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- (v) Faculty ranks and the dates awarded;
 - (vi) Reappointment and non-reappointment records;
 - (vii) Faculty improvement leave materials;
 - (viii) Disciplinary actions by licensing boards, or criminal records that have bearing on faculty status;
 - (ix) Sanctions against the faculty member pursuant to the University Faculty Bylaws; and
 - (x) Post tenure review
- (b) Copies of documents
- (i) Signed Letter of Offer including any special conditions/agreements at the time of initial appointment and any addenda;
 - (ii) Letter of resignation or termination;
 - (iii) Letters of recognition;
 - (iv) Acknowledgement of awards and achievements;
 - (v) Press releases;
 - (vi) Dean’s correspondence on compensation related issues; and
 - (vii) Change in status forms
- (7) Employment File. The faculty employment file is maintained in the Office of Human Resources for faculty who are employed or co-funded (shared) by

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NEOMED. This file includes originals and copies of documents that relate to pre-employment, employment, payroll, benefits, and separation matters. These documents may include, but are not limited to:

- (a) Original documents
 - (i) Pre-employment materials:
 - (a) degree verification
 - (a) background check; or
 - (b) Resume or curriculum vitae
 - (ii) Hiring information:
 - (a) personal data information including employment eligibility
 - (b) documents related to payroll and benefits
 - (iii) Signed Letter of Offer including any special terms or conditions/agreements at the time of initial appointment and any addenda;
 - (iv) Payroll change documents;
 - (v) Employee status changes;
 - (vi) Retirement Information; or
 - (vii) Termination sign-out information
- (b) Copies of documents

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- (i) Notification of Appointment letter;
- (ii) Employment forms related to:
 - (a) accident and injury reports;
 - (b) sick and vacation time; or
 - (c) tuition benefits